


Office of Environment, Safety and Health	Developing Work Authorization Statements and Contracts for Nuclear Safety Research	 9/24/05 Approved _____ Date _____
EH-3x	Standard Procedure	EH-3x-SP-05 Rev 4

1. PURPOSE

This Standard Procedure specifies how the Office of Environment, Safety and Health, Office of Nuclear Safety Research (ONSR) will develop Work Authorization Statements to national laboratories, or contracts to private industry, to perform nuclear safety research.

The primary purpose of nuclear safety research is to directly benefit the Department. By contrast, the purpose of financial assistance awards (i.e., grants and cooperative agreements) is to carry out a public purpose of support or stimulation. ONSR will not likely use financial assistance awards and thus this procedure does not address those contracting instruments.

2. APPLICABILITY

This Standard Procedure applies to the Office of Nuclear Safety Research (ONSR). This Standard Procedure is maintained by the Deputy Assistant Secretary for Corporate Performance Assessment.

This Standard Procedure is a living document that will be revised as conditions change, and as experience shows ways to improve it. The Office of Nuclear Safety Research welcomes constructive comments on this procedure.

3. OBJECTIVES

For selected nuclear safety research needs and topics, ONSR will issue Work Authorization Statements under existing contracts to national laboratories, or award new contracts to private research organizations. This procedure outlines the process the ONSR staff should follow to ensure that the awards have clear statements of work, the best possible research organizations are selected, and awards are made in the most efficient and expedient manner.

4. RESPONSIBILITIES

4.1. The ONSR project managers:

- develop objectives, goals, and statements of work for proposed nuclear safety research projects
- develop criteria to evaluate proposals
- select the best research organization for the proposed research project
- work with the EH Contracting Officer Representative in developing Work Authorization Statements or other documents needed

4.2. Director of the Office of Nuclear Safety Research

- assigns project managers to nuclear safety research projects

- directs the overall development and management of nuclear safety research projects
- 4.3. Contracting Officer Representative from EH's Office of Planning and Administration
- works with ONSR project managers to ensure that research goals, objectives, requirements, and statements of work are well-defined
 - assists ONSR project managers in developing and issuing requests for proposals, Work Authorization Statements, and other documents needed for developing research tasks for national laboratories and contracts
- 4.4. Contracting Officer in DOE field office
- incorporates a Work Authorization Statement for new nuclear safety research under an existing contract with associated national laboratory
- 4.5. Contracting Officer in ME's Procurement Services
- prepares requests for proposals for private industry
 - negotiates and issues final contracts with private industry

5. REQUIREMENTS

5.1. Development of Goals, Objectives and Statements of Work

- 5.1.1. After a nuclear research topic is developed and selected to become a research project (see DOE Standard Procedure, EH-3x-SP-01, *Identification, Prioritization, and Approval of Nuclear Safety Research*), the Director of ONSR will assign a project manager for the project.
- 5.1.2. The project manager will develop goals, objectives, and an initial statement of work for the project. The statement of work will outline the objectives, methods and approaches, milestones and deliverables for the project, and should be compatible with its estimated cost and schedule. The project manager will establish requirements for monthly status reports, travel, briefings, draft and revision of final reports, and disposition of equipment, software, test specimens and other property after the project's completion.

5.2. Development and Issuance of Work Authorization Statements or Requests for Proposals

- 5.2.1. The ONSR project manager will work with a Contracting Officer Representative from EH's Office of Planning and Administration to develop Work Authorization Requests to national laboratories, or request for proposals to private industry.
- 5.2.2. In considering candidate research organizations, the project manager needs to identify organizations with experience and/or capabilities in doing the type of research wanted. Another factor for considering candidate research organizations is that it is often most efficient and expedient to "piggyback" on an existing research effort.

- 5.2.3. If a national laboratory appears best suited to perform the desired nuclear safety research, the project manager and Contracting Officer Representative will develop a Work Authorization Statement for the laboratory, incorporating a statement of work developed by the project manager. In cases where the best national laboratory is not obvious, a "lab call" may be used to solicit information from multiple national laboratories. In making lab calls, only the goals and objectives for the research are stated; a statement of work is not given.
- 5.2.4. If no national laboratory is best suited to perform the nuclear safety research, the project manager can develop a request for proposal to private industry. The request for proposal will include a statement of work and other requirements. Alternatively, a sole source private contractor could be selected if the appropriate requirements of the Competition in Contracting Act are met.
- 5.2.5. The decisions for selecting a specific national laboratory, developing a request for proposal, or using a sole source contract will be made in consultation the Deputy Assistant Secretary for the Corporate Performance Assessment before final actions are taken. All funding for ONSR's research projects must be approved by the Deputy Assistant Secretary.
- 5.2.6. The ONSR project manager and the Contracting Officer Representative will complete documentation required for the Work Authorization Statement to a national laboratory, or a request for proposal or sole source contract to private industry.
- 5.2.7. For a request for proposal to private industry, the ONSR project manager will develop, prior to soliciting research proposals, a set of criteria to evaluate the submitted proposals. The evaluation criteria should include the following, as appropriate; technical approach, synergy with ongoing research, past experience, qualifications of personnel, cost, and ability to adhere to the project schedule. The Director of ONSR and the Contracting Officer Representative will review and approve the evaluation criteria.

5.3. Development and Issuance of Research Awards

- 5.3.1. For nuclear safety research to be awarded to a national laboratory, the ONSR project manager will work with the national laboratory to finalize the statement of work. The project manager and Contracting Officer Representative will work with the field office for the selected national laboratory to incorporate the new Work Authorization Statement under the existing contract for the national laboratory.
- 5.3.2. For proposed research involving a request for proposal to private industry, the ONSR project manager will review the research proposals received and evaluate them against the evaluation criteria and recommend the selection of a research organization to a source selection official in ME.
- 5.3.3. For private industry research contracts, derived either from a request for proposal or sole source selection, the ONSR project manager, working with the Contracting Officer Representative and the developers of the proposals, will make whatever changes are required to meet the needs of the research, and to establish a final statement of work. Then a Contracting Officer in ME's Procurement Office will develop a contract with the selected private industry research organization.

- 5.3.4. After a Work Authorization Statement or contract is awarded, the ONSR project manager will manage it in accordance with DOE Standard Procedure, EH-3x-SP-03, *Managing Contracted Nuclear Safety Research Projects*.

6. REFERENCES

DOE *Implementation Plan to Improve Oversight of Nuclear Operations (in response to Defense Nuclear Facilities Safety Board Recommendation 2004-1)*, Rev. 1, June 2005

DOE Standard Procedure, EH-3x-SP-01, *Identification, Prioritization, and Approval of Nuclear Safety Research*

DOE Standard Procedure, EH-3x-SP-03, *Managing Contracted Nuclear Safety Research Projects*

7. DEFINITIONS

None.

8. ATTACHMENTS

None.